9. Research Publications Return - Return 2

9.1 General requirements

In the Research Publications Return - Return 2, HEPs must report the total number of books, book chapters, journal articles and conference papers.

To be counted, each research publication must:

- meet the definition of research (as defined at section 1.3.7)
- only be counted once by each HEP
  - e.g. if a conference paper is published in conference proceedings and is subsequently included as a chapter in a book, it can be counted as a chapter or as a conference paper but not both

and be characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
- originality (i.e. not a compilation of existing works)
- veracity/validity through a peer review process or by satisfying the commercial publisher processes
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

The author of the research publication must be affiliated with the claiming HEP (as set out in section 9.4 of Part C).

For categories other than Book Chapters, where there are multiple authors, the count must be apportioned according to the number of authors (see also section 9.5 of Part C).

Book chapters (including apportioning of authors) should be calculated using the methodology at APPENDIX D.

In determining HEPs’ allocations from the Research Training Scheme, Institutional Grants Scheme, the Australian Postgraduate Awards, International Postgraduate Research Scholarships and the Commercialisation Training Scheme the Department will weight books 5:1 compared with the other research publication categories.
9.2 Year of Publication

The fundamental principles that underpin the publications data are:
- The publication is claimed in the appropriate year
- The year of publication must be verifiable
- The publication is claimed once only

To be able to count publications in the 2010 submission of Research Publications Return - Return 2:
- the research must have been published in the 2009 calendar year, and
- 2009 must be stated as the year of publication within or on the work being claimed.

The definition of published in this context is the date the publication was released to its intended audience.

Letters from authors, editors, creators etc stating that a research publication was published in 2009, even though 2009 is not stated within or on the work as the year of publication, are not acceptable evidence of the year of publication. There are two exceptions:
- For journal articles and/or conference publications that are produced on CD-ROM or are web-based, and do not contain a date published within or on the work being claimed, a letter from a journal editor or conference organiser verifying the published date may be accepted
- The date a conference was held may be acceptable evidence of the year of publication.

Pages showing the stated year of publication must be included in verification material (see section 9.7 of Part C).

Expanded Year of Publication Definition

HEPs must be able to demonstrate (in the verification material that they maintain) that the publication was not produced until after the submission date for that year’s publication return. i.e. that the publication, although containing a 2008 publication date, was not published until after 30 June 2009. A letter from the publisher will be considered sufficient verification material to support the claim

Only those publications which:
- were published after the submission date for the 2008 data collection; and
- contain a 2008 publication date,
may be included under this provision.

9.3 Publication Categories counted in Research Publication Return - Return 2

9.3.1 Books

To be included in this category the publication must meet the definition of research (as defined at section 1.3.7) as amplified in the general requirements for research publications (see section 9.1 of Part C) and:
- must be a major work of scholarship
- must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
— for e-books, on subscription or fee basis
• must have an International Standard Book Number (ISBN)
• must be written entirely by a single author, or by joint authors who share responsibility for the whole book
• must have been published by a commercial publisher, as defined at section 1.3.5
• the author must be affiliated with the claiming HEP as set out in section 9.4 of Part C.

The types of books that may meet the criteria include:

• critical scholarly texts (e.g. music, medieval or classical texts)
• new interpretations of historical events
• new ideas or perspectives based on established research findings.

The types of books that are unlikely to meet the criteria include:

• textbooks
• anthologies
• edited books
• creative works such as novels
• translations
• revisions or new editions

Note: many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that HEPs assess these publications very carefully against the definition of research provided at section 1.3.7 and only count those publications which report research activities.

9.3.2 Book Chapters
This category refers to a contribution, consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny.

To be included in this category the publication must meet the definition of research (as defined at section 1.3.7) as amplified in the general requirements for research publications (see section 9.1 of Part C) and:

• must be offered for sale
  — for hard copies, bound
  — for CD-ROMs, packaged
  — for e-books, on subscription or fee basis
• must have an International Standard Book Number (ISBN)
• must have been published by a commercial publisher, as defined at section 1.3.5
• the author must be affiliated with the claiming HEP as set out in section 9.4 of Part C.

A book chapter may be included if it has been published previously as long as it constitutes substantial new knowledge and constitutes original research. The types of book chapters that may meet the criteria include:
• a scholarly introduction of chapter length to an edited volume, where the content of
the introduction reports research and makes a substantial contribution to a defined
area of knowledge
• a critical scholarly text of chapter length, e.g. in music, medieval or classical texts
• critical reviews of current research.

Unless they meet all of the criteria for inclusion, the following book chapters should be
excluded:

• chapters in textbooks
• entries in reference books
• anthologies
• revisions of chapters in edited books
• forewords
• brief introductions
• brief editorials
• appendices
• literary or creative pieces such as collections of short stories; and
• translations.

APPENDIX D outlines the book chapter calculation methodology.

9.3.3 Journal Articles

To be included in this category the journal article must meet the definition of research
(as defined at section 1.3.7) as amplified in the general requirements for research
publications (see section 9.1 of Part C) and:

• must be published in a scholarly journal
• must have been peer-reviewed as defined at section 9.6 of Part C. Note: the fact
that an article has been peer reviewed does not automatically mean that it is
eligible. The article must still meet the definition of research as well as all other
criteria
• must have an International Standard Serial Number (ISSN)
  — Some journals may be regularly published as separate volumes with an ISBN
  rather than an ISSN. Provided that the publication is clearly identified as an
  edition of a journal, and not a book, articles in such publications may be eligible
  if they meet all other criteria
  — If an ISSN does not appear in the journal:
    o external evidence such as an ISSN number being cited in an extract
      from an authoritative journal listing, such as the Thomson-Reuters
      Master Journals List (http://science.thomsonreuters.com/) or from the
      Scopus database (http://info.scopus.com/overview/); or
    o evidence that the journal is classified as ‘refereed’ in Ulrich’s
      International Periodicals Directory (Volume 5 - Refereed Serials) or via
      Ulrich’s web site www.ulrichsweb.com
• the author must be affiliated with the claiming HEP as set out in section 9.4 of
  Part C.

The types of journal articles that may meet the criteria include:
• commentaries and communications of original research
• research notes
• letters to journals, provided that the letter satisfies the definition of research (as defined at section 1.3.7) and the subsequent definitions for journal articles in this section
• critical scholarly texts which appear in article form
• articles reviewing multiple works or an entire field of research
• invited papers in journals
• articles in journals which are targeted to both scholars and professionals
• articles in a stand alone series.

The types of journal articles that are unlikely to meet the criteria include:

• letters to the editor
• case studies
• articles designed to inform practitioners on existing knowledge in a professional field
• articles in newspapers and popular magazines
• editorials
• book reviews
• brief commentaries and communications of original research
• reviews of art exhibitions, concerts, theatre productions.

9.3.4 Conference Publications
To be included in this category the conference publication must meet the definition of research (as defined at section 1.3.7) as amplified in the general requirements for research publications (see section 9.1 of Part C) and must:

• be published in full. The papers may appear in a number of different formats, e.g. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD-ROM or conference or organisational web site
• be peer reviewed (see section 9.6 of Part C)
• be presented at conferences, workshops or seminars of national or international significance
• the author must be affiliated with the claiming HEP, as set out in section 9.4 of Part C.

Keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed. HEPs must retain in verification material evidence of the keynote status of the address (e.g. contents page) and of other contributions to the conference being peer reviewed (e.g. a statement in the introduction to proceedings indicating this).

The types of conference publications that are unlikely to meet the criteria include papers that appear only in a volume handed out to conference participants.

9.4 Author affiliation
The author of the research publication being counted in the Research Publication Return - Return 2 must be affiliated with the claiming HEP and must be identified either within or on the work being claimed.
Where author affiliation with the claiming HEP is not identified within a work, the following evidence retained in verification material would be sufficient to demonstrate author affiliation and should include:

- a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP and either
  - a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of the HEP in 2009 (or earlier if that was when the research leading to the publication was conducted) or
  - an extract from the HEP’s staff or student list that lists the author.

Where a publication shows that an author has affiliation to more than one HEP (e.g. Janet Harvey, Tutor in Economics, HEP X; PhD student, HEP Y), each Australian HEP named in that by-line can each count the publication in its respective Research Publication Return - Return 2.

Adjunct fellows, honorary staff members and staff on leave are considered affiliated with a HEP if the HEP is identified in the by-line.

9.5 Apportioning authors
For categories other than Book Chapters, where there are multiple authors the count must be apportioned according to the number of authors. For example, if there are three authors of a publication, one third should be counted for each author who was a staff member or student of the reporting HEP.

For Book Chapters, authors should be apportioned according to the methodology set out in APPENDIX

9.6 Peer review
For the purposes of the HERDC, an acceptable peer review process is one that involves an assessment or review of the research publication in its entirety by independent, qualified experts before publication. Independent in this context means independent of the author.

Peer review is relevant for journal articles and conference publications being counted in the Research Publications Return - Return 2.

For journal articles, any of the following are acceptable as evidence of peer review:

- the journal is listed in one of the Institute for Scientific Information indexes ([www.isinet.com/journals](http://www.isinet.com/journals))
- the journal is classified as ‘refereed’ in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site [www.ulrichsweb.com](http://www.ulrichsweb.com)
- the journal is included in the Department’s Register of Refereed Journals (no longer maintained)
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer’s assessment relating to the article.
Note: a statement from an author that a publication was peer reviewed is not acceptable. The existence of a national or international advisory board is also not sufficient evidence that all relevant publications were assessed by members of it.

For books and book chapters, the concept of a commercial publisher (as defined at section 1.3.4) is used as a surrogate test of quality in place of a peer review requirement.

9.7 Verification material
HEPs must retain verification material to demonstrate that the publication meets the criteria against the category being reported. Details of individual publications counted in Research Publication Return - Return 2 and information verifying the categorisation of those publications must be retained by each HEP for three years to facilitate any audit.

A pro-forma to assist HEPs in collecting the relevant details of individual publications is provided at APPENDIX APPENDIX may assist HEPs in collecting verification material for publications. Use of these pro-formas is optional.

The completed pro-formas - or their equivalents - may need to be submitted to the Department or auditors if requested.

For all publications the HEP must be able to provide the following, if required, by the Department or for a publications audit:

- clarification of the bibliographical information required per publication category, as appropriate
- contents, preface, introduction and pages showing all bibliographical information as appropriate, ISBN or ISSN, author(s), publisher and all dates referring to copyright, publication, printing and distribution
- evidence indicating the author’s affiliation to the HEP, and
- if claimed using the expanded year of publication definition (see section 9.2 of Part C) a letter from the publisher indicating that the publication was not produced until after the Research Publications Return - Return 2 submission date.

Note: Conference publications do not require an ISBN or need to be published by a commercial publisher; books and book chapters must meet both of these requirements.

Additional material required for verification of each of the publications categories is set out below.

9.7.1 Books
In addition to verification material set out in section 9.7 of Part C, the HEP must be able to provide proof that the book was published by a commercial publisher (as defined at section 1.3.4).

9.7.2 Book Chapters
In addition to verification material set out in section 9.7 of Part C, the HEP must be able to provide:

- the chapter
- if a new chapter in a revised edition, the contents page of the previous edition to indicate that the chapter is new
- a printout of the book chapter calculation spreadsheet.
9.7.3 Journal Articles
In addition to verification material set out in section 9.7 of Part C, the HEP must be able to provide:

- the article or offprint of the article
- proof of peer reviewing as set out in section 9.6 of Part C
- If an ISSN does not appear in the journal,
  — external evidence such as an ISSN number being cited in an extract from one of the Institute for Scientific Information indexes (www.isinet.com/journals) or
  — evidence that the journal is classified as ‘refereed’ in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site www.ulrichsweb.com

9.7.4 Conference Publications
In addition to verification material set out in section 9.7 of Part C, the HEP must be able to provide:

- the full paper or offprint of paper
- proof of peer reviewing as set out in section 9.6 of Part C
- proof of national or international significance.

Keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed. However, HEPs must be able to demonstrate evidence of the keynote status of the address (e.g. contents page) and other contributions to the conference being peer reviewed (e.g. a statement in the introduction to proceedings indicating this).

9.8 Foreign Language Publications
Foreign language publications are eligible to be counted. The same verification evidence is required, in English, as for any other works. It is not necessary to translate the entire publication, but all relevant sections required for the verification of information to demonstrate that it meets the criteria of the category against which it is being claimed should be translated. This includes evidence that the work meets the definition of research.

*Note: The Australian Academy of the Humanities has advised that they are no longer in a position to assist HEPs in the verification of foreign language publications in the fields of the humanities.*

9.9 Electronic Works
Electronic works are eligible to be counted, provided they meet all the relevant criteria in these specifications (as set out in section 9 of Part C) for the publications category against which they are being claimed.